



**FUNDING OPPORTUNITY ANNOUNCEMENT (FOA)**  
**“FY16 ACQUISITION RESEARCH PROGRAM”**

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## Introduction

This publication constitutes a Funding Opportunity Announcement (FOA) as contemplated in the Department of Defense Grants and Agreements (DODGARS) Subpart 22.315(a). A formal Request for Proposals (RFP), solicitation, and/or additional information regarding this announcement will not be issued. Neither the Naval Postgraduate School (NPS) nor the Contracting Office of Naval Supply Systems Fleet Logistics Center San Diego (NAVSUP FLC SD) will issue paper copies of this announcement. Interested parties are responsible to check [www.grants.gov](http://www.grants.gov) or <http://www.nps.edu/Research/WorkingWithNPS.html> for possible amendments to this FOA.

The Naval Postgraduate School (NPS) reserves the right to select for award all, some or none of the proposals in response to this announcement. NPS provides no funding for direct reimbursement of proposal development costs. Technical and cost proposals (or any other material) submitted in response to this FOA will not be returned. It is the policy of NPS and NAVSUP FLC SD to treat all proposals as sensitive competitive information and to disclose their contents only for the purposes of evaluation. Potential grantees are on notice, however, that Government may use contractor support personnel, with appropriate non-disclosure agreements on file, to assist in the review of technical submissions.

### I. PROGRAM DESCRIPTION:

1. **Requiring Agency:** Naval Postgraduate School
2. **Opportunity Title:** Acquisition Research Program (ARP)
3. **Program Name:** Not Applicable (N/A)
4. **Funding Opportunity Number:** NPS-FOA-16-001
5. **Response Date:**

Submit White Papers by 01 June 2016.

Submit invited Full Proposals by 01 August 2016.

This announcement will remain open until 01 August 2016 at 11:59 PM Pacific Daylight Time or until replaced by a successor FOA, whichever occurs first. White papers and proposals will be accepted throughout the open period of this FOA. However, all funds may be committed based on the above schedule, so Offerors are strongly encouraged to submit White Papers and invited Full Proposals by the above mentioned dates.

6. **Amendments:** Amendments to this FOA will be posted to one or more of the following webpages:

- Grants.gov <http://www.grants.gov>
- NPS Funding Opportunity Announcements (FOAs)  
<http://www.nps.edu/research/workingwithnps.html>

## 7. Research Opportunity Description:

The Acquisition Research Program (ARP) at the Naval Postgraduate School is interested in stimulating and supporting scholarly research in academic disciplines that bear on public procurement policy and management. These include economics, finance, financial management, information systems, organization theory, operations management, human resources management, risk management, and marketing, as well as the traditional public procurement areas such as contracting, program/project management, logistics, test and evaluation and systems engineering management.

The ARP primarily supports scholarly research through assistance vehicles that will benefit the general public and/or private sector to a larger extent than any direct benefits that may be gained by the Government. Studies of government processes, systems, or policies should also expand the body of knowledge and theory of processes, systems, or policies outside the government.

The ARP in this FOA is interested only in proposals that will provide unclassified and non-proprietary findings suitable for publication in open scholarly literature.

Offerors bear prime responsibility for the design, management, direction and conduct of research. Researchers should exercise judgment and original thought toward attaining the goals within broad parameters of the research areas proposed and the resources provided. Offerors are encouraged to be creative in the selection of the technical and management processes and approaches and consider the greatest and broadest impact possible.

**Note: Proposals for workshops, conferences, and symposia, or for acquisition of technical, engineering, advisory and assistance, and other types of support services for the direct benefit of the Government will not be considered.**

### Presentation of Research Findings:

- A. End of Project Deliverables: Awardees must deliver an unclassified project abstract and Technical Report, authored by the awardees and submitted to the NPS technical point of contact listed below, as a Microsoft Word File no later than 30 days after the end of the period of performance
  - (1) Awardees should expect that the project abstract and Technical Report will be published and made available to the general public, senior managers, and policymakers in the Government.
  - (2) The Technical Report should follow a typical academic format (i.e., background, scope, literature review, methodology, analysis, results, recommendations and conclusion). A status report should not be submitted as the Technical Report.
  - (3) Samples of completed Technical Reports can be found under publications at [www.acquisitionresearch.net](http://www.acquisitionresearch.net).
- B. ARP Symposium Deliverables: An academic paper suitable for academic conference proceedings, not to exceed 20-pages, authored by the awardees and submitted in April for the Proceedings of the Annual Acquisition Research Symposium to be scheduled in

May 2017 or May 2018 (select a date).

- (1) Presentation by the awardees at the Annual Acquisition Research Symposium to be scheduled for May 2017 or May 2018.
- (2) Submission requirements can be found at [www.researchsymposium.org](http://www.researchsymposium.org)
- (3) If awardees elect the 2018 symposium, the requested grant period of performance should extend through 31 July 2018.

C. Awardees must agree to discuss research progress with the Government sponsor via a video / teleconference at a time to be determined during the period of the award.

## 8. Point(s) of Contact:

The specific points of contact for this announcement are listed below:

Questions of a **technical** nature should be submitted to:

Dr. Keith F. Snider  
Professor of Public Administration and Management  
Graduate School of Business and Public Policy  
Naval Postgraduate School  
Email: [arp@nps.edu](mailto:arp@nps.edu)

Questions of a **general** nature can be directed to:

Ms. Teri Jay  
Grant Management Specialist  
Research and Sponsored Programs Office  
Office of the Dean of Research  
Naval Postgraduate School  
Email: [baa@nps.edu](mailto:baa@nps.edu)

Questions of a **business** nature shall be directed to:

Ms. Janet Norton  
Contracts and Grants Officer  
NAVSUP Fleet Logistics Center San Diego  
Email: [janet.norton@navy.mil](mailto:janet.norton@navy.mil)

Questions or assistance needed regarding **Grants.gov's** registration process, system requirements or submittal process shall be directed to:

Grants.gov  
Phone: 1-800-518-4726  
Email: [support@grants.gov](mailto:support@grants.gov)

Any questions regarding this announcement must be provided to the points of contact listed above. All questions shall be submitted in writing by electronic mail. Questions submitted via telephone call, fax message, or other means will not be provided a response.

## 9. Instrument Types:

Awards may take the form of grants or cooperative agreements as appropriate. Contracts will not be awarded as a result of this FOA.

Offerors should familiarize themselves with these instrument types and the applicable regulations before submitting a proposal. Following is a brief description of the possible award instruments:

**Grant** – A legal instrument, consistent with 31 U.S.C. 6304, is used to enter into a relationship where:

- (1) The principal purpose is to transfer something of value to the award recipient to carry out a public purpose of support or stimulation authorized by a law of the United States, rather than to acquire property or services for the Government's direct benefit or use.
- (2) Substantial involvement is not appropriate between the Government and the recipient when carrying out the activity contemplated by the grant.
- (3) No fee or profit is allowed.

Grants are distinguished from contracts in that grants provide financial assistance to recipients to conduct fairly autonomous programs of research. With respect to grants, the recipients bear prime responsibility for the design, management, direction, and conduct of research, and exercise judgment and original thought toward attaining the scientific goals within broad parameters of the research areas proposed and the resources provided.

Grant proposals must provide and clearly define the public benefit that is anticipated to result from broad dissemination of the research results to scientific and professional communities. Proposals should **not** focus on potential benefits to the Government, although these should be mentioned briefly in the White Paper's technical concept section and the Full Proposal's Statement of Work.

**Cooperative Agreement** – A legal instrument, consistent with 31 U.S.C. 6305, is used to enter into the same kind of relationship as a grant (see definition "grant") except that substantial involvement is expected between the Government and the recipient when carrying out the activity contemplated by the cooperative agreement. The term does not include "cooperative research and development agreements" as defined in 15 U.S.C. 3710a. No fee or profit is allowed.

**Contract** – A legal instrument, consistent with 31 U.S.C. 6303, reflects a relationship between the Federal Government and a State, a local government, or other recipient when the principal purpose of the instrument is to acquire property or services for the direct benefit or use of the Federal Government.

**NOTE:** While Grants and Cooperative Agreements DO NOT ordinarily include the delivery of software, prototypes, and hardware deliverables; instead, their primary deliverable is a report of research findings, if the Government funds the research effort it may nevertheless acquire rights in such data and/or software.

**10. Catalog of Federal Domestic Assistance (CFDA) Numbers: 12.300.**

**11. Catalog of Federal Domestic Assistance (CFDA) Titles: Department of Defense (DOD) Basic and Applied Scientific Research.**

**12. Other Information:**

Work funded under a FOA may include basic research, applied research and some advanced research. With regard to any restrictions on the conduct or outcome of work funded under this FOA, NPS will follow the guidance on and definition of “contracted fundamental research” as provided in the Under Secretary of Defense (Acquisition, Technology and Logistics) Memorandum of 24 May 2010.

As defined therein the definition of “contracted fundamental research,” in a government contractual context, includes [research performed under] grants and contracts that are (a) funded by Research, Development, Test and Evaluation Budget Activity 1 (Basic Research), whether performed by universities or industry or (b) funded by Budget Activity 2 (Applied Research) and performed on campus at a university. The research shall not be considered fundamental in those rare and exceptional circumstances where the applied research effort presents a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense, and where agreement on restrictions have been recorded in the contract or grant.

Pursuant to DOD policy, research performed under grants and contracts that are a) funded by Budget Activity 6.2 (Applied Research) and NOT performed on-campus at a university or b) funded by Budget Activity 6.3 (Advanced Research) do not meet the definition of “contracted fundamental research.”

In conformance with the USD (AT&L) guidance and National Security Decision Direction 189, NPS will place no restriction on the conduct or reporting of unclassified “contracted fundamental research,” except as otherwise required by statute, regulation or Executive Order. For certain research projects, it may be possible that although the research being performed by the prime contractor is restricted research, a subcontractor may be conducting “contracted fundamental research.” In those cases, it is the *prime contractor’s responsibility* in the proposal to identify and describe the subcontracted unclassified research and include a statement confirming that the work has been scoped, negotiated, and determined to be fundamental research according to the prime contractor and research performer.

Normally, fundamental research is awarded under grants with universities and under contracts with industry. Non-fundamental research is normally awarded under contracts and may require restrictions during the conduct of the research and pre-publication review of such research results due to subject matter sensitivity. Potential Offerors should consult with the appropriate NPS Technical POC to determine whether the proposed effort would constitute basic research, applied research or advanced research.

***Organizational Conflict of Interest*** – All prospective grantees for this FOA are on actual notice that the Department of Defense and the Department of the Navy (collectively referred to as “Grantor”) rely on third-party contractor support. Consultant contractor employees, with appropriate non-disclosure agreements and organizational conflicts of interest clauses in their respective contracts with the

Grantor, may be reviewing grant proposals for administrative purposes and may be involved in Grant administration for the life of any awarded grant. If you have any questions or concerns, please contact the Business POC identified in Section I “Program Description,” before submitting your proposal.

**THE PURPOSE OF THIS ANNOUNCEMENT IS TO STIMULATE AND SUPPORT RESEARCH GRANTS; IT IS NOT FOR THE ACQUISITION OF TECHNICAL, ENGINEERING, AND OTHER TYPES OF SUPPORT SERVICES.**

**II. AWARD INFORMATION:**

**1. Amount and Period of Performance:**

Anticipated Number of Awards: There is no set limit to the number of proposals an institution can submit to this FOA. The funding amount and period of performance of each selected proposal will vary depending upon the technical approach to be pursued by the selected Offeror(s).

Anticipated Range of Individual Award Amounts: The Naval Postgraduate School (NPS) anticipates making multiple awards up to \$120,000 each for a basic research period of twelve (12) months.

Anticipated Period of Performance: The period of performance (POP) for an award may exceed twelve months if the symposium paper and presentation will be made at the 2018 ARP Symposium, in which case the POP may extend through 31 July 2018. (see Section I.7.B above). NPS plans to complete the white paper evaluation and notify selectees for full proposals by 15 July 2016. This information is only an estimate and does not obligate the Government in any way. Estimated funding amounts may increase or decrease at any time based on current and future appropriations.

**2. Type of Awards:**

The Government anticipates the award of grants and cooperative agreements under this FOA.

No contracts will be awarded under this FOA.

**III. ELIGIBILITY INFORMATION:**

All responsible sources from U.S. academia, non-profit research institutions and laboratories outside the Federal Government may submit proposals under this FOA. A University Affiliated Research Center (UARC) is a U.S. Department of Defense (DOD) research center associated with a university. UARCs are eligible to submit proposals under this FOA unless precluded from doing so by their DOD UARC contract.

Federally Funded Research & Development Centers (FFRDCs), including Department of Energy National Laboratories, are not eligible to receive awards under this FOA.

U.S. Government schools of higher education, Navy laboratories and warfare centers as well as other Department of Defense and civilian agency laboratories are also not eligible to receive awards under this FOA and should not directly submit either white papers or full proposals in response to this FOA. If any such organization is interested in performing research described herein, the organization should contact the Technical Point of Contact (TPOC) at [arp@nps.edu](mailto:arp@nps.edu).

#### Submission Limits:

1. There is NO LIMIT to the number of proposals an institution can submit to this FOA.
2. Cost sharing or matching is not required.
3. Individuals are not eligible to apply.

#### **IV. APPLICATION AND SUBMISSION INFORMATION:**

##### **1. Address to Request Announcement Package:**

This announcement may be accessed from the internet at the Grants.gov website (<http://www.grants.gov> or <http://www.nps.edu/Research/WorkingWithNPS.html>). If internet access is not available, contact the Business POC listed in Section I. Program Description, 8. Points of Contact.

##### **2. Application and Submission Process:**

###### **a. White Paper**

Initial submissions must be a white paper. Therefore prospective Offerors are encouraged to submit white papers to minimize the labor and costs associated with the production of detailed full proposals. If an Offeror DOES NOT submit a white paper, the Offeror is NOT ELIGIBLE to participate in the remaining full proposal submission process and is not eligible for funding.

White papers must be submitted electronically to the TPOC, email: [arp@nps.edu](mailto:arp@nps.edu). The subject line of this email shall read "NPS-FOA-16-001 White Paper Submission." The white paper must be a Microsoft Word document attachment to the email. White Papers must be submitted by 01 June 2016. A separate white paper is required for each research proposal. .

###### **Do not submit the original "White Papers" through Grants.gov**

Each white paper will be evaluated by the Government to determine whether the proposed research appears to advance knowledge in the field, enhance understanding, and provide a direct benefit to the public, which is defined here as those outside the Government who are in the public and/or private sectors.

Notifications of results from the White Paper review will be issued via email from the TPOC by 15 July 2016. This information is only an estimate and does not obligate the Government in any way.

###### **b. Invited Full Proposals:**

Detailed Full Proposals (Volume 1: Technical Proposal, Volume 2: Cost Proposal, and Volume 3: Original White Paper submission) will be subsequently requested from those Offerors whose proposed research has been rated highly in the technical evaluation. However, email notifications are not assurances of a subsequent award.

Upon favorable technical review of a submitted White Paper, Offeror will receive an email inviting them to submit a Full Proposal by 01 August 2016. Only Invited Full Proposals will be considered for funding.



The only acceptable method for submission of full proposals is via <http://www.grants.gov>. Notice of Government-recommended awards based on full proposal submissions will be issued via email. Offeror should expect to receive notification of selection for funding no later than 31 October 2016. This information is only an estimate and does not obligate the Government in any way.

### **3. Format and Content of White Papers/Full Proposals:**

White Papers and Full Proposals submitted under the FOA are expected to be unclassified. The research proposed is also expected to be unclassified. Proposal submissions will be protected from unauthorized disclosure in accordance with, applicable law, and government regulations. Offerors are expected to appropriately mark each page of their submission that contains proprietary information.

**IMPORTANT NOTE:** Titles given to the White Papers/Full Proposals should be descriptive of the research they cover and not be merely a copy of the title of this solicitation or area of interest identified in Section I. Item 7.

#### **A. WHITE PAPER**

##### **Format**

- Paper Size - 8.5 x 11 inch paper
- Margins - 1 inch
- Spacing – single spaced
- Font - Times New Roman, 12 point
- Copies - One (1) electronic copy in Word 2007 or higher delivered via email. Electronic (email) submissions should be sent to the TPOC, [arp@nps.edu](mailto:arp@nps.edu) . The subject line of the email shall read: "**NPS- FOA-16-001 White Paper Submission**".

**NOTES:** 1) Do not send .ZIP files.  
2) Do not send password-protected files.

In order to provide traceability and evidence of submission, Offerors may wish to use the "Delivery Receipt" option available from Microsoft Outlook and other email programs that will automatically generate a response when the subject email is delivered to the recipient's email system. Consult the User's Manual for your email software for further details on this feature.

##### **Content**

- **Cover Page:** The Cover Page This should include the words "**WHITE PAPER**", and include the:
  - FOA number, "**NPS-FOA-16-001**"
  - Title of proposal that is descriptive of the research to be conducted
  - Identity of prime Offeror and complete list of subcontractors, if applicable
  - Technical contact (name, address, phone, fax, email address)
  - Administrative/business contact (name, address, phone, fax, email address)
  - Length of proposed period of performance.

- **Supporting Letter:** Include a supporting letter through the appropriate institutional official. (i.e., the applicant's Department Chair, Dean, or other official who speaks for the institution regarding support for and commitment to acquisition research). This supporting letter should state whether or not the applicant holds a tenure track position (where applicable) or a permanent position within the Offeror's institution.
- **Statement of Research Issue/Results:** Concise (shall not exceed fifty (50) words) statement of the problem the proposed research will address and anticipated results.
- **Public Purpose:** Concise (shall not exceed two hundred (200) words) statement of how the proposed research might fulfill a public benefit beyond the needs of the Departments of Defense or Navy. *Please contact the TPOC if you are unsure what is meant by public benefit or purpose.*
- **Technical Concept:** Concise (shall not exceed five (5) pages single spaced) proposal which includes;
  - (1) A description of proposed research and associated risk areas;
  - (2) A statement on how the proposed effort is relevant to the research areas described in Section I. Item 7;
  - (3) Research questions and objectives;
  - (4) Research approach (methodology) that will be pursued to meet the objectives; and
  - (5) References
- **Relevant Research Summary:** Concise (shall not exceed one (1) page single-spaced) summary of recent relevant research.
- **Resumes:** Concise (shall not exceed one (1) page per person) resume of the principal investigator and other key researchers.
- **Cost Estimate:** Concise (shall not exceed one (1) page single-spaced) cost information. White Paper submissions shall include a cost summary showing requested funding for the proposed period of performance. The cost summary shall be organized by task.

## **B. FULL PROPOSALS**

The invited full proposal shall expand on the research topic and technical concept proposed in the submitted whitepaper. Full proposals must be submitted electronically at <http://www.grants.gov> using the application template package found there and associated with this FOA. Detailed format and content instructions follow.

The period of performance will only exceed twelve (12) months from effective date of award. For those who select to present at the May 2018 ARP Symposium, the period of performance would be through 31 July 2018. Assume that performance will start no earlier than four (4) months after you are notified your Full Proposal has been recommended for award. Option periods are not allowed under this FOA.

The Full Proposal has three (3) Volumes which should be clearly marked and submitted as attachments in the Grants.gov submission. These volumes are:

- Volume 1: Technical Proposal
- Volume 2: Cost Proposal

- Volume 3: Original White Paper submission

### **Volume 1: Format**

- Paper Size - 8.5 x 11 inch paper
- Margins - 1 inch
- Spacing - single-spaced
- Font - Times New Roman, 12 point

### **Volume 1: Content**

- **Cover Page:** This should include the words "**TECHNICAL PROPOSAL**" and the following:
  - FOA number, "**NPS-FOA-16-001**"
  - Title of proposal that is descriptive of the research to be conducted
  - Identity of prime Offeror and complete list of subcontractors, if applicable
  - Technical contact (name, address, phone, fax, email address)
  - Administrative/business contact (name, address, phone, fax, email address)
  - Length of proposed period of performance.
- **Table of Contents:** A listing of the section numbers and corresponding heading titles within the proposal, including corresponding page numbers.
- **Supporting Letter:** Include a supporting letter through the appropriate institutional official. (i.e., the applicant's Department Chair, Dean, or other official who speaks for the institution regarding support for and commitment to acquisition research). This supporting letter should state whether or not the applicant holds a tenure track position (where applicable) or a permanent position within the Offeror's institution.
- **Project Abstract:** The concise (shall not exceed one (1) single-spaced page) project abstract should be appropriate for public release and should describe the research project in terms that the public would understand. The project abstract should summarize the research project. Specifically, identify the principal investigator and offering institution; research problem and objectives; technical approaches and anticipated outcome of the research. Also note any substantial involvement by the Government. **To attach a Project Abstract, click "Add Attachment" to the GRANTS.GOV "Project Abstract" mandatory form.**
- **Statement of Research Issue/Results:** Concise (shall not exceed fifty (50) words) statement of the problem the proposed research will address and anticipated results.
- **Public Purpose:** Concise (approximately two hundred (200) words) statement of how the proposed research might fulfill a public benefit beyond the needs of the Government. The public-benefits statement is an important part of the evaluation and award process.
- **Statement of Work (SOW):** Concise (shall not exceed five (5) pages single-spaced) statement of work. This severable, self-standing SOW should include:
  - (1) A clear description of proposed research
  - (2) Research scope

- (3) Research questions and objectives
- (4) Proposed technical approach (methodology) that will be pursued to meet the research objectives
- (5) A detailed list of the research tasks/subtasks organized chronologically

This discussion should also provide the technical foundation/justification for pursuing this particular approach and why one would expect it to enable the research objectives of the proposal.

It is anticipated that the severable, self-standing SOW without any proprietary restrictions, will be incorporated in the agreement award.

- **Project Schedule and Milestones:** A summary of the schedule of research and reporting activities and milestones should be included in table or bullet-list form. Because the date of award is not known at time of application, we recommend a “month 1,” “month 2,” format, as opposed to naming specific months and dates.
- **Work Plan Summary:** A work plan summary sheet in format provided in [Appendix A](#) must be included as an ADDENDUM to the Statement of Work. This page will be used as a stand-alone item during the evaluation process. It must be submitted in the format prescribed starting on a new page so that it may be easily separated from the body of the SOW. Work Plan Summary **MUST** be submitted as a stand-alone, editable, WORD file. Proposals submitted without this summary sheet may be rejected for award.
- **Reports:** The following are sample reports that are typically provided under a grant-funded research effort (do not include software, prototypes, hardware and deliverables):
  - Technical and financial progress reports, quarterly
  - Presentation materials
  - Technical and financial reports, final
- **Management Approach:** A discussion of the overall approach to the management of this effort, including brief discussions of the total organization; responsibilities of the various personnel; project/function/subcontractor/subrecipient relationships; government research interfaces; and planning, scheduling and oversight practices. Identify which personnel and subcontractors/subrecipients (if any) will be involved. Include a description of the facilities that are required for the proposed effort with a description of any Government-furnished equipment (GFE), hardware, software or information required, by version and/or configuration. Limit the number of pages for this section to two (2).
- **Offeror Qualifications:** Provide the following;
  - A discussion of previous accomplishments and research by the Offeror/institution in this or closely related areas.
  - A discussion of the qualifications of the proposed Principal Investigator and other key personnel.
  - Includes resumes or curricula vitae for the Principal Investigator and other key personnel and consultants. The resumes/curricula vitae shall be collated and attached to the proposal as a single document (shall not exceed one (1) single-spaced page per person).

- **Current and Pending Project and Proposal Submissions:** Principal Investigators are required to provide information on all current and pending support for ongoing projects and proposals, including subsequent funding in the case of continuing contracts, grants, and other assistance agreements.

Offerors shall provide the following information of any related proposal submissions from whatever sources (e.g., NPS, Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations). The following information must be provided for all proposals already submitted or submitted concurrently to other possible sponsors, including NPS.

**Concurrent submission of a proposal to other organizations will not prejudice its review by NPS:**

1. Title of Proposal and Summary
2. Source and amount of funding (annual direct costs; provide contract and/or grant numbers for current contracts/grants)
3. Percentage effort devoted to each project
4. Identity of prime Offeror and complete list of subcontractors, if applicable
5. Technical contact (name, address, phone/fax, electronic mail address)
6. Administrative/business contact (name, address, phone/fax, electronic mail address)
7. Period of performance (differentiate basic effort)
8. The proposed project and all other projects or activities requiring the Principal Investigator's time as well as any other senior personnel must be included, even if they receive no salary support from the project(s)
9. The total award amount for the entire award period covered (including indirect costs) must be shown as well as the number of person-months or labor hours per year to be devoted to the project, regardless of the support source
10. How the project is related to the proposed effort and degree of overlap.

**Volume 2: Cost Proposal**

The Cost Proposal, which is a *narrative* explaining and justifying the budget figures in detail, must include *all figures, calculations, and supporting documentation for determining cost allowability, allocability and reasonableness*. Justifications for costs must be explicitly stated.

In addition to a narrative, Offerors may include as part of their Cost Proposal a spreadsheet showing calculations, unit price, and number of units in more detail than is possible in the required Grants.gov budget form. However, inclusion of a more detailed spreadsheet is not a substitute for a detailed narrative that explains calculations, justifies inclusion of budget items, and states the basis for the amounts listed.

The Offeror **must** use the Grants.gov budget forms (including the Standard Form (SF) Research and Related (R&R) Budget Form) from the application package template associated with this FOA on the grants.gov website located at <http://www.grants.gov/>. A separate Adobe PDF document shall be uploaded with the online application materials, providing appropriate verification and/or supporting documentation for each element of costs proposed.

**Costs proposed must conform to the following principles and procedures:**

- Educational Institutions: 2 CFR §200 - Uniform Guidance, Subpart E
- Non-Profit Organizations: 2 CFR §200 – Uniform Guidance, Subpart E\*

*\*For those Non-Profit Organizations specifically exempt from the provisions of Appendix VII to 2 CFR §200, FAR Part 31, and DFARS part 231 shall apply.*

**The cost proposal must include the following:**

- **Direct Labor:** Individual labor categories or persons, with associated percent of annual effort and unburdened direct labor rates by annual salary (alternatively, number of total hours and hourly rate may be provided). If proposal period crosses fiscal years, then provide escalation rates for each fiscal year period. Clearly state any escalation rates used in calculations. Provide supporting documentation verifying individual labor rates for each known individual; this may include a recent payroll receipt for individuals or a signed statement of salary rate or hourly rate and level of appointment from the Offeror's Sponsored Programs Office or Human Resources Office. For persons yet to identified, provide general tables or schedules by labor category, which labor category will be used and why that labor category is appropriate.
- **Administrative and Clerical Labor:** Salaries of administrative and clerical staff are normally indirect costs (and included in an indirect cost rate). Direct charging of these costs may be appropriate when a major project requires an extensive amount of administrative or clerical support significantly greater than normal and routine levels of support. Budgets proposing direct charging of administrative or clerical salaries must be supported with a budget justification, which adequately describes the major project and the administrative and/or clerical work to be performed.
- **Fringe Benefits:** The Cost Proposal narrative should include the rates and calculations of the costs for each labor category/person, the salary amounts to which they are applied, and the sum total for each labor category/person.

If the fringe-benefit rates have been approved/negotiated by a Government agency, **provide a copy of the memorandum/agreement**. If the rates applied are composition rates, or the rates have not been approved/negotiated, provide sufficient detail to enable a determination of allowability, allocability, and reasonableness of the allocation bases, and how the rates are calculated according to applicable OMB Circulars or FAR/DFARS provisions.

- **Travel:** The proposed travel cost should include the following for *each* trip:
  - The purpose of the trip
  - Origin and destination, if known
  - Estimated duration
  - Number of travelers
  - Estimated cost per trip

The costs must be justified based on the organization's historical average cost per trip or other reasonable basis for estimation. Such estimates and the resultant costs claimed must conform to the applicable Federal cost principles. Explain why travel is a necessary and/or cost-effective component of the technical approach/methodology, as well as why the travel destination was chosen. Provide a copy of the institution's travel policy. Provide documentation for proposed airfare costs (such as internet quotes from a travel website).

- Subawards: Subawards should be utilized only when the awardee deems them necessary for achieving the project objectives. Provide a description of the work to be performed by the subrecipient institution. For each subaward, a detailed cost proposal submitted by the subrecipient is required and must be included in the proposal by the Offeror. Alternatively, the proposed subawardee's or subrecipient's cost proposal can be provided via email directly to the NPS General POC at baa@nps.edu at the same time the prime proposal is submitted. The email must identify the proposal title, the Prime Offeror, and that the attached proposal is either a sub-contract or a sub-agreement. This proposal and supporting documentation must be received and reviewed before the Government can complete its cost analysis of the Prime Offeror's proposal and enter into negotiations.

Provide specific information as follows:

- A clear description of the work to be performed
  - If known, the identification of the proposed sub-awardee and an explanation of why and how the sub-awardee was selected or will be selected
  - The identification of the type of award to be used (cost reimbursement, fixed price, etc.)
  - Whether or not the award will be competitive and, if noncompetitive rationale to justify the absence of competition
  - A detailed cost summary
- Consultants: Offerors normally are expected to utilize the services of their own staff to the maximum extent possible in managing and performing the project's effort. If the need for consultant services is anticipated, the nature of proposed consultant services must be justified and included in the technical proposal narrative.

If known at time of application the Cost Proposal must include the name of the consultant(s), primary organizational affiliation, each individual's expertise, and provide a breakdown of the consultant's hours, the hourly rate proposed, and any other proposed consultant costs, such as estimated travel costs and per diem rates. Provide a copy of the signed Consulting Agreement or other documentation supporting the proposed consultant rate/cost, and a copy of the consultant's proposed statement of work if it is not already separately identified in the prime Offeror's proposal.

If consultant services are anticipated but not under contract, provide expertise required, estimate of consultant's total hours, hourly rate proposed, and any other anticipated costs, such as estimated travel costs and per diem rates. Provide documentation (past invoice) of similar work conducted by someone with similar expertise or level of experience.

- Materials and Supplies: Provide an itemized list of all proposed materials and supplies including quantities, unit prices, proposed vendors (if known), and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). Include supporting documentation for the estimates. Provide a copy of your organization's purchasing policy/processes.
- Recipient-Acquired Equipment or Facilities: Equipment and/or facilities are normally furnished by the Recipient. If acquisition of equipment and/or facilities is proposed, a justification for the purchase of the items must be provided. Provide an itemized list of all equipment and/or facilities costs as well as the basis for them and supporting documentation for the estimate. (e.g., quotes, prior purchases, catalog price lists). Allowable items normally would be limited to research equipment not already available for the project. General purpose equipment (i.e., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, office equipment and furnishings, etc.) should not be requested unless they will be used primarily or exclusively for the project. For computer/laptop purchases and other general purpose equipment, if proposed, include a statement indicating how each item of equipment will be integrated into the program or used as an integral part of the research effort.
- Other Direct Costs: Provide an itemized list of all other proposed direct costs such as graduate assistant tuition, laboratory fees, report and publication costs, and the basis for the estimate (e.g., tuition schedules, quotes, prior purchases, catalog price lists). In addition to stating the basis for the cost estimates, include supporting documentation where possible.
- Indirect Costs (i.e., F&A, Overhead, G&A, etc.): Describe the rates and calculation of the costs for each rate category, listing the base on which the rate is applied. **If the rates have been approved / negotiated by a Government agency, provide a copy of the memorandum/agreement.** If the rates have not been approved/negotiated, provide sufficient detail to enable a determination of allowability, allocability and reasonableness of the allocation bases, and how the rates are calculated according to applicable OMB Circulars or FAR/DFARS provisions.

Offeror's disclosure should be sufficient to permit a full understanding of the rate's content and how it was established. At a minimum, the submission should identify:

- All individual cost elements included in the forecast rate(s)
- Bases used to pro-rate indirect expenses to cost pools, if any
- How the rate(s) was calculated
- Distribution basis of the developed rate(s)
- Bases on which the overhead rate is calculated, such as "salaries and wages" or "total costs"
- The period of the Offeror's fiscal year

Additional information may be requested, if needed. If composite rates are used, provide the calculations used in deriving the composite rates. A Negotiated Indirect Cost Rate Agreement (NICRA) may be required in order for an awardee to invoice for indirect costs. If the Offeror does not currently hold a NICRA, describe the current status of the organization's request for



such an agreement with its cognizant agency.

IAW 2 CFR §200.414(f), any non-Federal entity that has never received a negotiated indirect cost rate, except for those non-Federal entities described in Appendix VII to 2 CFR §200, may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely.

- Fee/Profit: Fee/profit is unallowable under grants or cooperative agreements at either the prime or subaward level but may be permitted on any subcontracts issued by the prime awardee.

**NOTE:** *Failure to adequately provide detailed cost data will require the NAVSUP FLC SD Grants Officer to contact the proposing organization for the requisite information. This will result in a delay of the award. All Offerors are required to submit a thoroughly detailed cost breakdown. The NAVSUP FLC SD Grants Officer must be able to determine that all proposed costs are allowable and reasonable. A detailed budget will facilitate this cost analysis.*

### **Volume 3: A copy of the original whitepaper submission.**

#### **3. Significant Dates and Times:**

This announcement will remain open until 01 August 2016 at 11:59 PM Pacific Daylight Time or until replaced by a successor FOA, whichever occurs first. White papers and invited full proposals will be accepted throughout the open period of **NPS-FOA-16-001**; however, all funds may be committed based on the following schedule:

- White Papers submitted by **01 June 2016**
- Invited Full Proposals submitted by **01 August 2016**

#### **4. Submission of Full Proposals:**

All Full Proposals shall be submitted through Grants.gov using the application package template associated with this FOA. Volume 1, 2 and 3 as well as additional documents and attachments described above should be generated and then uploaded and attached where indicated on the grants.gov website.

#### **Registration Requirements for Grants.gov:**

There are several one-time actions you must complete in order to submit an application through Grants.gov. These include:

1. Obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number
2. Registering with the System of Award Management (SAM)
3. Registering with the Credential Provider
4. Registering with Grants.gov.

Use the Grants.gov website to begin these processes: <http://www.grants.gov/web/grants/home.html>  
<http://www.grants.gov/web/grants/applicants.html>.  
<http://www.grants.gov/web/grants/applicants/grant-application-process.html>

Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called 'MPIN' are important steps in the SAM registration process. Applicants, who are not registered with SAM and Grants.gov should allow at least 21 days to complete these requirements. It is suggested that the process be started as soon as possible.

Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 (1-606-545-5035 for foreign applicants) or email: [support@grants.gov](mailto:support@grants.gov).

**By completing Block 17 of the SF 424 R&R, the Grant Applicant is providing the certification on lobbying required by 32 CFR Part 28. Refer to Section VI, "Award Administration Information," entitled "Certifications," for further information.**

**Grants.gov Full Proposal Submission:** Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select "Apply for Grants", and then select "Download Application Package." In the box labeled "Funding Opportunity Number," enter **NPS-FOA-16-001**. Click on the button labeled "Download Package." Follow the instructions on the grants.gov page to complete the application download process.

It is recommended that you complete SF 424 R&R form first to populate data in other forms. Complete all the required fields in accordance with the pop-up instructions on the form. To activate the instructions, turn on the "Help Mode" (icon with the pointer and question mark at the top of the form).

All Offerors **must** complete and submit the seven mandatory forms listed below and any applicable optional forms, e.g., SF-LLL Disclosure of Lobbying Activities, in accordance with the instructions on the forms and the additional instructions provided in this FOA (forms are included in the application package available on Grants.gov posted with this FOA):

**1. SF-424 R&R, Application for Federal Assistance**

**2. R&R Budget**

**3. Budget Narrative**

**4. SF-424B, Assurances - Nonconstruction Programs**

**5. R&R Other Project Info**

**6. R&R Senior/Key Personnel**

**7. Project Abstract (*Abstract must be marked as publically releasable and abstract must use terms the public can understand*).**

All attachments to grant applications submitted through Grants.gov must be in Adobe PDF unless

otherwise specified in this announcement. Proprietary information may be included on submitted forms, supporting documentation, and the cost proposal. All such information should be denoted with asterisks (\*\*\*) at the beginning and end of the proprietary information; alternatively, a page with considerable proprietary information can display the statement "Proprietary Information" in its header or footer.

Statements of Work within the Technical Proposal should **NOT** include proprietary information or other restricted or protected information.

All applications must be self-contained within specified page limitations. Internet website addresses (URLs), with the exception of cost-proposal supporting documentation of Offeror policies and procedures, may not be used to provide information necessary for the review, because reviewers are under no obligation to view the Internet sites.

### **Certifications and Assurances:**

**Certification Regarding Lobbying Activities** — Grant and Cooperative Agreement awards greater than \$100,000 require a certification of compliance with a national policy mandate concerning lobbying. Grant applicants shall provide this certification by electronic submission of SF-424 (R&R) as a part of the electronic proposal submitted via Grants.gov (complete Block 17); the following certification applies to each applicant seeking federal assistance funds exceeding \$100,000:

(1) No Federal appropriated funds have been paid or will be paid by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the Federal contract, grant, loan, or cooperative agreement, the applicant shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The applicant shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S.C. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

## 5. Significant Dates and Times:

This announcement will remain open until 01 August 2016 at 11:59 PM Pacific Daylight Time or until replaced by a successor FOA, whichever occurs first. White papers and invited full proposals will be accepted throughout the open period of NPS- FOA-16-001; however, all funds may be committed based on the following schedule:

- White Papers submitted by **01 June 2016**
- Invited Full Proposals submitted by **01 August 2016**

NOTE: Initial submission must be a white paper. The Government is under no obligation to review uninvited full proposals.

**6. Submission of Late Proposals:** Late proposals will NOT be accepted

**7. Funding Restrictions:** Award selection notification from NPS shall not be regarded as an authorization to begin performance or commit/expend funds. The Government is not obligated to provide any funding until a Government Grant Officer from NAVSUP FLC San Diego signs the respective award document. Costs incurred in advance of signed grants and cooperative agreements are solely the responsibility of the prospective grantee.

## V. APPLICATION REVIEW INFORMATION:

### 1. Evaluation Criteria:

Award decisions will be based on a competitive selection of proposals resulting from a technical review. Evaluations will be conducted using the following evaluation criteria:

#### (1) Overall scientific and technical merits of the proposal

- Knowledge and familiarity with public procurement policy and management
- Compatibility of research questions with research topics of interest (see Section I, 7.)
- Thoroughness, clarity, and parsimony of the proposal
- Feasibility of research design/technical concept
- Potential impact of research results
- Potential for publication of research results in a scholarly venue (e.g. peer reviewed journal or conference proceedings).

#### (2) Offeror's capabilities, related experience, and past performance, including the qualifications, capabilities and experience of the proposed principal investigator and assistant personnel

- The quality of technical personnel proposed
- The Offeror's experience in relevant efforts with similar resources
- The ability to manage the proposed effort

The technical factors are evaluated equally. The primary basis for selecting proposals for recommendation to award shall be technical, importance to the public procurement community, and funding availability.

**Cost Analysis** – If your proposal is selected for possible award, we will analyze the cost of the work for realism and reasonableness. The cost of your proposal is considered, but is not an evaluation factor or criterion. We must make sure the costs you propose are reasonable and realistic before we can make an award. We may analyze your technical and cost information at the same time.

Recommended proposals will be forwarded to the NAVSUP FLC SD grants department. Any notification received from NPS that indicates that the Offeror's full proposal has been recommended, does not ultimately guarantee an award will be made. A notice from NPS indicates that the proposal has been selected in accordance with the evaluation criteria above and will be sent to the NPS Grant Management Specialist, Grants Administration Unit, Research and Sponsored Programs Office, to conduct preliminary cost analysis, assess the Offeror's responsibility, and take other steps necessary prior to sending a complete proposal package to NAVSUP FLC San Diego for review and award.

The Government reserves the right to request additional documentation and the right to remove an Offeror from award consideration if the party fails to provide requested information. The Government reserves the right remove an Offeror from award consideration if the party fails to reach agreement on award terms, conditions, and cost/price within a reasonable amount of time.

## **2. Evaluation Panel:**

Technical and Cost Proposals submitted under this FOA will be protected from unauthorized disclosure in accordance with FAR 3.104-5 and 15.207. The cognizant NPS Principal Investigator or other technical experts drawn from the Government or academia will perform the evaluation of Technical Proposals. Restrictive notices notwithstanding, one or more support contractors may be utilized as subject-matter-expert technical consultants. Similarly, support contractors may be utilized to assist with the evaluation of Cost Proposals. However, proposal selection and award decisions are solely the responsibility of Government personnel. Each support contractor's employee having access to Technical and Cost Proposals submitted in response to this FOA will be required to sign a non-disclosure statement prior to receipt of any proposal submissions.

## **3. Evaluation Timeline:**

Findings of the evaluation panel will be forwarded to the NPS Technical POC (TPOC). Offerors are expected to be notified of the evaluation panel selections no later than 15 July 2016. Notification process shall be via email by the NPS TPOC in Section I. Program Description, 8. Points of Contact. This information is only an estimate and does not obligate the Government in any way.

# **VI. AWARD ADMINISTRATION INFORMATION:**

## **1. Award Notices:**

Award selection notification from the NPS TPOC must not be regarded as an authorization to begin

performance or commit/ expend funds. Your business office will be contacted by the grant officer to negotiate the terms of your award.

The Government is not obligated to provide any funding until a Government Grant Officer from NAVSUP FLC San Diego signs the respective award document. Costs incurred in advance of signed grants and cooperative agreements are solely the responsibility of the prospective grantee.

## **2. Administrative and National Policy Requirements:**

Any award issued as a result of this announcement is subject to the following administrative, cost and national policy requirements contained therein.

- 2 Code of Federal Regulations (CFR) part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirement for Federal Awards as modified and supplemented by the Department of Defense's (DoD) interim implementation found at 2 CFR part 1103, "Interim Grants and Cooperative Agreements Implementation of Guidance in 2 CFR part 200".

Link to 2 CFR part 200:

[http://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)

Link to 2 CFR part 1103:

<http://www.ecfr.gov/cgi-bin/text-idx?SID=6b9a1e28b684113253f576ed5b0a3f64&mc=true&node=pt2.1.1103&rgn=div5>

Provisions of Chapter I, Subchapter C of Title 32, CFR, "DoD Grant and Agreement Regulations," other than parts 21, 22, 32, 33 and 37, continue to be in effect and are incorporated herein by reference, with applicability as stated in those provisions.

NOTE: Special requirements may apply to particular Federal awards after the review of applications and other information, based on the particular circumstances of the effort to be supported (e.g., if human subjects were to be involved or if some situations may justify special terms on intellectual property, data sharing or security requirements).

## **3. Reporting:**

In general, reporting requirements include quarterly interim progress reports, quarterly financial reports, final technical report, final financial report, and final patent report. Additional reports may be required based on the research conducted.

## **4. Certifications and Assurances:**

- **Certification Regarding Lobbying Activities:** Grant and Cooperative Agreement awards greater than \$100,000 require a certification of compliance with a national policy mandate concerning lobbying. Grant applicants shall provide this certification by electronic submission of SF-424 (R&R) as a part of the electronic proposal submitted via Grants.gov (complete Block 17); the following certification applies to each applicant seeking federal assistance funds exceeding \$100,000:

(1) No Federal appropriated funds have been paid or will be paid by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the Federal contract, grant, loan, or cooperative agreement, the applicant shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The applicant shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S.C. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

## **VII. AWARDING AGENCY CONTACT INFORMATION:**

For contact information, see Section I. Program Description, 8. Points of Contact.

## **VIII. OTHER INFORMATION:**

### **1. Security Classification:**

In order to facilitate intra-program collaboration and technology transfer, the Government will attempt to enable technology developers to work at the unclassified level to the maximum extent possible. If access to classified material will be required at any point during performance, the Offeror must clearly identify such need prominently in its proposal. An unclassified final report is required in order that the general public may benefit from the research findings.

The Statement of Work in the Technical Proposal must be unclassified and must not contain Controlled Unclassified Information.

The Naval Postgraduate School does NOT provide access to classified material and secured facilities under grants.

## **2. Use of Animals and Human Subjects in Research:**

If animals are to be utilized in the research effort proposed, the Offeror must complete prior to award a DOD Animal Use Protocol with supporting documentation (copies of AALAC accreditation and/or NIH assurance, IACUC approval, research literature database searches, and the two most recent USDA inspection reports). For assistance with submission of animal research-related documentation, contact the NPS Grants Management Specialist at [baa@nps.edu](mailto:baa@nps.edu).

For any research proposal involving human subjects, the Offeror shall submit prior to award:

1. Documentation of approval from an Institutional Review Board (IRB)
2. IRB-approved research protocol complying with requirements found in DoDI 3216.02 and 32 CFR 219
3. IRB-approved informed consent form
4. Proof of completed human research training (e.g., training certificate or institutional verification of training)
5. Offeror's DHHS-issued Federal wide Assurance (FWA).

If an exemption criterion under 32 CFR.219.101 (b) is claimed, provide documentation of the determination by the Institutional Review Board (IRB) Chair, IRB vice Chair, designated IRB administrator or official of the human research protection program including the category of exemption and short rationale statement. If the research is determined by the IRB to be greater than minimal risk, the Offeror shall provide the name and contact information for the independent research monitor.

This documentation shall be submitted to the NPS Human Research Protection Official (HRPO) via the NPS Grants Management Specialist at [baa@nps.edu](mailto:baa@nps.edu).

Awardees shall promptly notify the NPS HRPO (at [IRB@nps.edu](mailto:IRB@nps.edu)) of the following: when significant changes to the research protocol are approved by the IRB, the results of the IRB continuing review, if the IRB used to review and approve the research changes to a different IRB, when the institution is notified by any Federal department or agency or national organization that any part of its Human Research Protection Program (HRPP) is under investigation for cause involving a DoD-supported research protocol, and all Unanticipated Problems Involving Risks to Subjects or Others (UPIRTSO), suspensions, terminations, and serious or continuing noncompliance regarding DoD-supported research involving human subjects.

## **3. Protection of Proprietary and Sensitive Information:**

The parties acknowledge that, during performance of the award resulting from this FOA, the recipient may require access to certain proprietary and confidential information (whether in its original or derived form) submitted to or produced by the Government. Such information includes, but is not limited to, business practices, proposals, designs, mission or operation concepts, sketches, management policies, cost and operating expense, technical data and trade secrets, proposed Navy budgetary information, and acquisition planning or acquisition actions, obtained either directly or indirectly as a result of the effort performed on behalf of NPS.

The recipient shall take appropriate steps not only to safeguard such information, but also to prevent disclosure of such information to any party other than the Government. The recipient agrees to



indoctrinate company personnel who will have access to or custody of the information concerning the nature of the confidential terms under which the Government received such information and shall stress that the information shall not be disclosed to any other party or to recipient personnel who do not need to know the contents thereof for the performance of the contract/agreement. Recipient personnel shall also be informed that they shall not engage in any other action, venture, or employment wherein this information will be used for any purpose by any other party.

As set forth herein, Recipient acknowledges and agrees that third-party support contractors may access technical information submitted by Recipient. Government will ensure that the contractor employee has signed a non-disclosure agreement with its employer (on record); and, Government will ensure that the contractor employer, likewise, has a signed Organizational Conflict of Interest clause with the Government precluding exploitation of any kind of non- public data it accesses as a result of its Government contract effort(s).

#### **4. Conflict of Interest:**

**Organizational Conflicts of Interest:** All Offerors, principal investigators, and proposed subcontractors must affirm whether they are providing scientific, engineering, and technical assistance (SETA) or similar support to any Naval Postgraduate School (NPS) school/office, or to the underlying sponsor of this research through an active contract or subcontract. All affirmations must state which office(s) the Offeror supports and identify the prime contract numbers. Affirmations shall be furnished at the time of proposal submission. All facts relevant to the existence or potential existence of organizational conflicts of interest (FAR 9.5) must be disclosed. The disclosure shall include a description of the action the Offeror has taken or proposes to take to avoid, neutralize, or mitigate such conflict. In accordance with FAR 9.503 and without prior approval, a contractor cannot simultaneously be a SETA and a research and development performer. Proposals that fail to fully disclose potential conflicts of interests will be rejected without technical evaluation and withdrawn from further consideration for award.

**Post Employment Conflict of Interest:** There are criminal laws and standards of conduct regulations that may apply to current or former Government employers/military officers who draft or assist in the drafting of grant proposals, or are named as principal investigators/alternates in grant proposals. See 18 United States Code (U.S.C. 203 - 207). These restrictions may apply to reservists on active duty, or to employees who served on a Federal Advisory Board/Council within the last 365 days, i.e. Special Government Employees. Accordingly, Offerors submitting grant proposals are required to identify any potential post-employment or current conflict of interest to the Grants Officer if a Government employee or former Government employee (broadly defined above to include military members, Special Government employees or reservists) participated in proposal drafting and/or is named as a principal investigator or alternate principal investigator.

If a prospective proposer believes a conflict of interest exists or may exist (whether organizational or otherwise) or has questions on what constitutes a conflict interest, the proposer should send his/her contact information and summary of the potential conflict to [baa@nps.edu](mailto:baa@nps.edu) before time and effort are expended in preparing a proposal and mitigation plan.

Be advised the Grants Officer reserves the right in his/her sole discretion to withhold award if he/she determines there is a conflict of interest or standards of conduct violation whether organizational or

otherwise.

## **5. Acknowledgement of Naval Postgraduate School (NPS) Support:**

NPS's full or partial support must be acknowledged in journal articles, oral or poster presentations, news releases, interviews with reporters and other communications.

Any documents developed under an award agreement resulting from this FOA that are intended for distribution to the public or inclusion in a scientific, technical, or other journal shall include the following statement:

This publication was developed under work supported by the Naval Postgraduate School's (NPS) Acquisition Research Program Award No. *[insert award number]* awarded by the NAVSUP Fleet Logistics Center San Diego (NAVSUP FLC San Diego). It has not been formally reviewed by NPS. The views and conclusions contained in this document are those of the authors and should not be interpreted as necessarily representing the official policies, either expressed or implied, of the NAVSUP FLC San Diego and NPS. The NAVSUP FLC San Diego and NPS do not endorse any products or commercial services mentioned in this publication.

## **6. Military Recruiting on Campus:**

Military Recruiting on Campus (DODGARS Part 22.520) applies to domestic U. S. colleges and universities. Appropriate language from 32CFR22.520, Campus Access for Military Recruiting and Reserve Officer Training Corps (ROTC), will be incorporated in all university grant awards.

## **7. Intellectual Property (cooperative agreements only):**

Offerors responding to this FOA must submit a separate list of all technical data or computer software that will be furnished to the Government with other than unlimited rights. The Government will assume unlimited rights if Offerors fail to identify any intellectual property restrictions in their proposals. Include in this section all proprietary claims to results, prototypes, and/or deliverables. If no restrictions are intended, then the Offeror should state "NONE."

## **8. Federal Funding Accountability and Transparency Act of 2006:**

The Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), as amended by Section 6202 of Public Law 110-252, requires that all agencies establish requirements for recipients reporting information on subawards and executive total compensation as codified in 2 CFR 33.110. Any company, non-profit agency or university that applies for financial assistance (either grants, cooperative agreements or other transaction agreements) as either a prime or subrecipient under this FOA must provide information in its proposal that describes the necessary processes and systems in place to comply with the reporting requirements identified in 2 CFR 33.220.

An entity is **exempt** from this requirement **UNLESS** in the preceding fiscal year it received: a) 80 percent or more of its annual gross revenue in Federal contracts (and subcontracts), loans, grants (and subgrants), and cooperative agreements; b) \$25 million or more in annual gross revenue from Federal contracts (and subcontracts), loans, grants (and subgrants), and cooperative agreements; and c) the public does not have access to information about the compensation of the senior executives through

periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 or section 6104 of the Internal Revenue Code of 1986.

## **9. Representation Regarding an Unpaid Delinquent Tax Liability or a Felony Conviction Under Any Federal Law - DOD Appropriations:**

All grant applicants are required to complete the "Representation on Tax Delinquency and Felony Conviction" found at <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal.aspx> by checking the "I agree" box in block 17 and attaching the representation to block 18 of the SF-424 (R&R) as part of the electronic proposal submitted via Grants.gov. The representation reads as follows:

- (1) The applicant represents that it is \_\_\_\_\_ is not a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in timely manner pursuant to an agreement with the authority responsible for collecting the tax liability
- (2) The applicant represents that it is \_\_\_\_\_ is not a corporation that was convicted of a felony criminal violation under any Federal law within the preceding 24 months.

**NOTE:** If an applicant responds in the affirmative to either of the above representations, the applicant is ineligible to receive an award unless the agency suspension and debarment official (SDO) has considered suspension or debarment and determined that further action is not required to protect the Government's interests. The applicant therefore should provide information about its tax liability or conviction to the agency's SDO as soon as it can do so, to facilitate completion of the required consideration before award decisions are made.

## **10. Reporting Executive Compensation and First-Tier Subcontract Awards:**

The FAR clause 52.204-10, "Reporting Executive Compensation and First-Tier Subcontract Awards," will be used in all procurement contracts valued at \$25,000 or more. **A similar award term will be used in all grants and cooperative agreements.**

**11. Government Property/Government Furnished Equipment (GFE) and Facilities:** Government research property, facilities and operational military units are available and should be considered as potential government furnished equipment/facilities. These facilities and resources are of high value and some are in constant demand by multiple programs. It is unlikely that all facilities would be used for any one specific program. The use of these facilities and resources will be negotiated as the program unfolds. Offerors should explain as parts of their proposal which of these facilities are critical for the project's success.

## **12. Updates of Information Regarding Responsibility Matters:**

FAR clause 52.209-9, Updates of Publicly Available Information Regarding Responsibility Matters, will be included in all contracts valued at \$500,000 or more where the contractor has currently active Federal contracts and grants with a total value greater than \$10 million.

**13. Recombinant DNA:**

Proposals which call for experiments using recombinant DNA must include documentation of compliance with Department of Human and Health Services (DHHS) recombinant DNA regulations, approval of the Institutional Biosafety Committee (IBC), and copies of the DHHS Approval of the IBC letter.

**14. Representation Regarding the Prohibition on Using FY15 Funds with Entities that Require Certain Internal Confidentiality Agreements:**

Agreement with the representation below will be affirmed by checking the "I agree" box in block 17 of the SF424 (R&R) as part of the electronic proposal submitted via Grants.gov. The representation reads as follows:

By submission of its proposal or application, the applicant represents that it does not require any of its employees, contractors, or subrecipients seeking to report fraud, waste, or abuse to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting those employees, contractors, subrecipients from lawfully reporting that waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

Note that: (1) the basis for this representation is a prohibition in section 743 of the Financial Services and General Government Appropriations Act, 2015 (Division E of the Consolidated and Further Continuing Appropriations Act, 2015, Pub. L. 113-235) and any successor provision of law on making funds available through grants and cooperative agreements to entities with certain internal confidentiality agreements or statements; and (2) section 743 states that it does not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

**APPENDIX A: Work Plan Template**  
**WORK PLAN SUMMARY**  
**for Proposal Submitted to NPS-FOA-16-001**

**Offeror:** <INSERT INSTITUTION NAME>

**Principal Investigator:** <INSERT NAME AND TITLE>

**Project Title:** <INSERT TITLE>

**Proposed Period of Performance:** <INSERT PROJECT PERIOD IN NUMBER OF MONTHS FORMAT – EXAMPLE 12 MONTHS>

**Project Abstract:** This research will be led by <INSERT PI>, <INSERT ORGANIZATION>. <INSERT ABSTRACT>

**Research Plan:** The key research objectives of this work include:

- [INSERT OBJECTIVE 1]
- [INSERT OBJECTIVE 2]
- ...
- ...
- [OBJECTIVE X]

[INSERT WRITTEN DESCRIPTION SUMMARIZING RESEARCH PLAN/PLAN FOR PERFORMING RESEARCH/ACTIVITIES TO ACHIEVE THE OBJECTIVE/S. EXAMPLES OF THE TYPES OF INFORMATION TO BE INCLUDED ARE: TASKS/SUBTASKS, HOW THE RESEARCH TEAM WILL CONDUCT THE ACTIVITIES, AND HOW THE RESEARCH WILL BE SUPERVISED]

**Public Benefit:** The direct public benefit of this research is anticipated to be <INSERT DESCRIPTION FROM TECH PROPOSAL>

[NOTE: THE FOLLOWING THREE SECTIONS MUST BE INCLUDED AT THE END OF THE WORK PLAN IN THEIR ENTIRETY. DO NOT AMEND THIS TEXT, SIMPLY COPY IT INTO THE WORK PLAN.]

**Presentation of Research Findings: (in addition to required reports in Attachment 1)**

- A. End of project deliverables – The grantee must deliver an Abstract (not to exceed 1 page) and a Technical Report documenting the substance and details of the research effort (not to exceed 50 pages), authored by the grantee and submitted to the technical point of contact listed below, as a Microsoft Word File no later than 30 days after the end of the period of performance.

- a. The grantee should expect that the Abstract and Technical Report will be printed and/or read by the general public, senior managers and policymakers. Completed Technical Reports will be posted under the publications tab at [www.acquisitionresearch.net](http://www.acquisitionresearch.net).
- b. The Technical Report should follow a typical academic format (i.e., background, scope, literature review, methodology, analysis, results, recommendations and conclusion). A status report or a collection of published articles will not be accepted as the Technical Report.

B. Symposium Deliverables:

- a. An academic paper suitable for conference proceedings, not to exceed 20 pages, authored by the grantee and submitted in April for the Proceedings of the Annual Acquisition Research Symposium held in May 2017 or May 2018 (select one)
- b. Presentation by the grantee at the Annual Acquisition Research Symposium scheduled for May 2017 or May 2018
- c. Submission requirements can be found at [www.researchsymposium.org](http://www.researchsymposium.org)

- C. The grantee must agree to discuss research progress with the OSD sponsor via a video-teleconference at a time to be determined during the period of the award.

**Acknowledgment of Support:** The grantee is responsible for assuring that an acknowledgment of NPS Acquisition Research Program support is made in any publication (including World Wide Web pages) of any material based on or developed under this project, in the following terms: *"This material is based upon work supported by the Naval Postgraduate School Acquisition Research Program under Grant No. [insert grant number], as well as from the following organizations [list, if any]. The views expressed in written materials or publications, and/or made by speakers, moderators, and presenters, do not necessarily reflect the official policies of the Naval Postgraduate School nor does mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government."*

**Review for Sensitive Information:** Prior to the public release of these materials, the grantee is responsible for assuring that the NPS Technical Point of Contact is provided access to an electronic version of every publication of material based on or developed under this award, clearly labeled with the award number and other appropriate identifying information, so that the content can be assessed for proper release of sensitive information.

**Copies for NPS:** Promptly after publication, the grantee will provide the NPS Technical Point of Contact access to an electronic version of every publication of material based on or developed under this award, clearly labeled with the award number and acknowledgement of support (see above).